

Exhibit 300: Capital Asset Plan and Business Case Summary**Part I: Summary Information And Justification (All Capital Assets)****Section A: Overview (All Capital Assets)**

1. Date of Submission: 4/10/2009
2. Agency: Department of State
3. Bureau: Information Resource Management
4. Name of this Capital Asset: Exhibit 300 - State Messaging and Archive Retrieval Toolset (SMART)
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.) 014-00-01-04-01-1185-00
6. What kind of investment will this be in FY 2010? (Please NOTE: Investments moving to O&M in FY 2010, with Planning/Acquisition activities prior to FY 2010 should not select O&M. These investments should indicate their current status.) Full Acquisition
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

SMART vision is to deliver a simple, secure, and user-driven system supporting the conduct of diplomacy through modern messaging, dynamic archiving, and information sharing. SMART's business objective enables direct, secure and controlled communication to 47,000 employees worldwide, to most US government agencies and thus with/to foreign governments consistent with the ISE (Information Sharing Environment). All Department of State (DoS) official international inter- and intra-agency business communications will be transmitted through SMART. This system transports decisions, messages, and data during world and national emergencies, and is the lifeline for DoS employees around the world during times of crisis. SMART is how official international government business gets done. The reliability, availability, performance, and functionality requirements of this system demand that overseas posts and the domestic offices remain ever accessible and always online. Technically, the SMART command and control system is a roles-based messaging application using complex assessment and distribution algorithms, and comprehensive dissemination profiles to distribute critical information. Once message distribution has been determined, the benefits of an email transport mechanism are realized. Thus, the SMART design merges two disparate systems: the command and control messaging rules and procedures, and State's email connectivity and infrastructure. The new SMART system preserves all legacy system distribution rules and standards and maintains enhanced reliability under threat of unusually hostile intrusion from internal and external sources. It operates in classified and unclassified intranet enclaves and the internet environment; archives messages for both operational and life-cycle records management purposes; and replaces the existing "print and file record e-mail" policy with electronic capture functionality. The legacy and SMART systems will interoperate, functioning in parallel until the last domestic office and overseas post are converted to SMART assuring thousands of employees that they have the information to protect the United States and their own lives during overseas assignments. SMART replaces current functionality, and delivers enabling technology through enriched communications via attached documents and embedded objects (e.g. pictures, charts, diagrams, etc.) and supplies interagency collaboration tools not available in any legacy messaging application.
9. Did the Agency's Executive/Investment Committee approve this request? Yes
 - a. If "yes," what was the date of this approval? 7/14/2008
10. Did the Project Manager review this Exhibit? Yes
12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project? Yes
 - a. Will this investment include electronic assets (including computers)? Yes
 - b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only) No
 1. If "yes," is an ESPC or UESC being used to help fund this investment? No
 2. If "yes," will this investment meet sustainable design principles? No
 3. If "yes," is it designed to be 30% more energy efficient than relevant code?

13. Does this investment directly support one of the PMA initiatives? Yes

If "yes," check all that apply:

Expanded E-Government

a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)

The SMART initiative is directly aligned with the Expanded E-Gov PMA goal and supports e-records management by delivering archiving and records management functionality. SMART initiates a message marking function at message creation, and leverages the existing State Archiving System (SAS). It archives record copies of SMART Working and Archival messages in XML format with attachments (both native and PDF/A format), including documents and attachments moved up from the unclassified enclave.

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.) No

a. If "yes," does this investment address a weakness found during a PART review? No

b. If "yes," what is the name of the PARTed program?

c. If "yes," what rating did the PART receive?

15. Is this investment for information technology? Yes

If the answer to Question 15 is "Yes," complete questions 16-23 below. If the answer is "No," do not answer questions 16-23.

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance) Level 2

17. In addition to the answer in 11(a), what project management qualifications does the Project Manager have? (per CIO Council PM Guidance) (1) Project manager has been validated as qualified for this investment

18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2008 agency high risk report (per OMB Memorandum M-05-23) Yes

19. Is this a financial management system? No

a. If "yes," does this investment address a FFMIA compliance area? No

1. If "yes," which compliance area:

2. If "no," what does it address?

b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities? N/A

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval? No

Section D: Performance Information (All Capital Assets)

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures (indicators) must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator

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for each of the four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov. The table can be extended to include performance measures for years beyond the next President's Budget.

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2007	Strengthening Consular and Management Capabilities	Customer Results	Customer Benefit	Customer Satisfaction	% of customers satisfied with SMART	Statistics on customer satisfaction with SMART not yet known, as the system has not yet been deployed	70% of pilot users agree that SMART is an improvement over the legacy systems for messaging, archiving, and retrieval	No results available - FY 2007. SMART development followed the OMB approved useful-segment baseline schedule (OMB approval received - 11/30/2006); SMART developed Useful Segment 1 in FY 2007, and deployed to 3 Pilot 1 posts in Qtr 1 FY 2008.
2007	Strengthening Consular and Management Capabilities	Mission and Business Results	International Affairs and Commerce	Foreign Affairs	% of pilot posts migrated	0% of the pilot posts have been migrated to the SMART system, as the system has not yet been deployed	100% of pilot posts will have been successfully migrated to SMART system Useful Segment 1, November, 2008	No results available - FY 2007. SMART development followed the OMB useful-segment baseline schedule (OMB approval received - 11/30/2006); SMART developed Useful Segment 1 in FY 2007, and successfully deployed to 3 Pilot 1 posts in Qtr 1 FY 2008.
2007	Strengthening Consular and Management Capabilities	Processes and Activities	Quality	Complaints	% of records propagated in 15 minutes or less	Currently, 0% of records are propagated within 15 minutes.	With SMART, 100% of records at Pilot deployment sites will be propagated within 15 minutes.	No results available - FY 2007. SMART development followed the OMB approved useful-segment baseline schedule (OMB approval received - 11/30/2006); SMART developed Useful Segment 1 in FY 2007, and deployed to 3 Pilot 1 posts in Qtr 1 FY 2008.
2007	Strengthening Consular and Management Capabilities	Technology	Reliability and Availability	Reliability	Number of failure incidences	Maximum delivery time requirements for cables already exist, including: Routine formal messages-3hrs.; Priority messages-1hr.; Critic, ECP and Flash messages-3 minutes	100% success rate for Pilot site adherence to current delivery time requirements at pilot posts	No results available - FY 2007. SMART development followed the OMB approved useful-segment baseline schedule (OMB approval received - 11/30/2006); SMART developed Useful Segment 1 in FY 2007, and deployed to 3 Pilot 1 posts in Qtr 1 FY 2008.
2008	Strengthening Consular and Management Capabilities	Customer Results	Customer Benefit	Customer Satisfaction	% of customers satisfied with SMART	Statistics on customer satisfaction with SMART not yet known, as the	70% of all migrated users agree that SMART is an improvement	4th Qtr 2008 results are that SMART advocates and trained end

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
						system has not yet been deployed.	over the legacy systems for messaging, archiving, and retrieval	users for Useful Segment 1, deployed it to 3 Pilot 1 posts in Qtr 1 FY 2008 agree the SMART features are preferable to telegrams.
2008	Strengthening Consular and Management Capabilities	Customer Results	Service Accessibility	Access	Number of user sessions/visitors per month to the broad ClassNet archive search	A current average of 1,807 sessions occur per month	During world-wide deployment, the number of user sessions per month will climb to 4,000	World-wide deployment begins Spring 2009. Pilot search results - for Qtr 4 2008 show SMART user's searches to archive steady adjusting for the numbers of pilot users in accordance with the OMB approved useful-segment baseline schedule.
2008	Strengthening Consular and Management Capabilities	Mission and Business Results	Information and Technology Management	Information Management	Number of email messages archived in electronic format	As of August 2006, no (0) email messages are archived in electronic format	The baseline represents the count for messages w/o organizational authority (analogous to existing emails subject to print and file" due to record value.) After full deployment, 30,000 email messages per month will	Results for Qtr 4 FY 2008 show very successful testing of archive and search functionality was conducted during Pilot 1. All test messages are archived in electronic format.
2008	Strengthening Consular and Management Capabilities	Mission and Business Results	International Affairs and Commerce	Foreign Affairs	% of total posts migrated to SMART.	As the beginning of FY 2009, 7% of worldwide posts have been migrated to SMART (as a portion of the Pilot installation/testing).	75% of worldwide posts migrated to SMART.	World-wide deployment begins Spring, 2009. Results for Qtr 4 2008 show that 3 pilot posts were successfully migrated to SMART for pilot and user testing following the OMB approved SMART pilot program.
2008	Strengthening Consular and Management Capabilities	Processes and Activities	Management and Innovation	Knowledge Management	Percent of pilot users leveraging newly created profiles.	0% (none) of pilot users leveraging newly created profiles.	25% of pilot users leveraging newly created profiles	Results for Qtr 4 FY 2008 show all pilot users are using the profiles established through SMART. Further testing of profiling functionality conducted during Pilot 1 shows profiling functionality to be highly successful.
2008	Strengthening Consular and Management Capabilities	Technology	Information and Data	Internal Data Sharing	Annual number of electronic messages available for unrestricted search on ClassNet	Currently, there are approximately 81,000 messages available for unrestricted search on ClassNet.	250,000 electronic messages will be available for unrestricted search on ClassNet	Results for Qtr 4 FY 2008 show testing of unrestricted search functionality is on schedule for Pilot 2 deployment following SMART OMB approved useful-segment

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
								baseline schedule (OMB approval received - 11/30/2006).
2009	Strengthening Consular and Management Capabilities	Customer Results	Customer Benefit	Customer Satisfaction	% of customers satisfied with SMART.	Statistics on customer satisfaction with SMART not yet known, as the system has not yet been deployed.	70% of total users agree that SMART is an improvement over the legacy systems for messaging, archiving, and retrieval.	
2009	Strengthening Consular and Management Capabilities	Mission and Business Results	International Affairs and Commerce	Foreign Affairs	% of posts migrated to SMART	75% of worldwide posts migrated to SMART.	100% of worldwide posts migrated to SMART	
2009	Strengthening Consular and Management Capabilities	Processes and Activities	Management and Innovation	Knowledge Management	Percent of users leveraging newly created profiles.	25% of pilot users leveraging newly created profiles.	30% of total users leveraging newly created profiles.	
2009	Strengthening Consular and Management Capabilities	Processes and Activities	Security and Privacy	Privacy	Number of electronic messages archived per year that contain & Privacy Act metadata (Does not include INA & privacy information).	Currently, there are zero electronic messages archived per year that contain a Privacy Act metadata.	SMART will capture 50,000 electronic messages that contain Privacy Act metadata.	
2009	Strengthening Consular and Management Capabilities	Technology	Efficiency	Accessibility	% of migrated posts retiring applicable legacy hardware components	0% of posts retiring applicable legacy hardware components	50% of posts retiring applicable legacy hardware components	

Section E: Security and Privacy (IT Capital Assets only)

8. Planning & Operational Systems - Privacy Table:					
(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
SMART (State Messaging and Archive Retrieval Toolset) - Classified; Unclassified; and ARM SAS2	Yes	Yes	http://www.state.gov/documents/organization/103759.pdf	No	No, because the system is not a Privacy Act system of records.
Details for Text Options: Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted. Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN. Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.					

Section F: Enterprise Architecture (EA) (IT Capital Assets only)

In order to successfully address this area of the capital asset plan and business case, the investment must be included in the agency's EA and Capital Planning and Investment Control (CPIC) process and mapped to and supporting the FEA. The business case must demonstrate the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture? No

a. If "no," please explain why?

This BY 2010 investment delivers the tier 3 support for SMART and the four new enhancement initiatives that will significantly improve the department's messaging capabilities which were not included in the FY 2009 investment. These initiatives will become an integral part of the State Department's target enterprise architecture upon completion.

The rationale for the addition of the 4 enhanced components of functionality is presented in that SMART will change the way the Department conducts business and diplomacy worldwide necessitating 4 initiatives that will further enable State messaging to perform its core mission and control costs. 1) Top Secret Solution (TS) - Design, development, and deployment of a TS messaging solution. 2) Department of Defense (DoD) Interface - Current SMART interfaces with the DoD messaging system using a text-based message. The SMART Program can enhance this interface by creating and implementing a process for the passage of attachments between these two agencies. 3) Multi-Functional Interpreter (MFI) Stabilization - the interface between the SMART System and external messaging systems is composed of three components: SAMS MFI, MFI Database, and the SMART MF that are an expensive and potential weakness with multiple risk points. As messages flow through these three components, operational support is needed to identify and resolve message delivery issues. As a result of these risks and manual support costs, the SMART Program plans to re-architect the external messaging interface and/or enhance the monitoring capabilities to reduce the need for manual operations. 4) PKI/Identity Management/Digital Rights Management - Due to the immaturity of PKI architecture within the Department, and its current exclusion from ClassNet, the SMART system is unable to fully integrate PKI/Identity Management functionality. The SMART program will plan to address PKI issues during BY 2010, assuming that the Diplomatic Security office (DS) will have identified the product to address Digital Right Management and Message-Based Anomaly Detection (MBAD).

Thus, SMART SRM and TRM components will not change for BY 2010. [These must be maintained for full 3rd tier support, testing, integration to support production system versioning; and for the 4 initiatives that are to be integrated into the SMART operational system.]

2. Is this investment included in the agency's EA Transition Strategy? No

a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment. SMART

b. If "no," please explain why?

This generation of SMART adds 4 components of functionality not addressed in the SMART FY 2009 investment and is also providing 3rd tier O&M support to the world-wide deployed SMART system. The four new components of functionality are:

1) Top Secret Solution (TS) - Design, development, and deployment of a TS messaging solution; to include encryptors and hardware at posts.

2) Department of Defense (DoD) Interface - Current SMART requirements call for the new system to interface with the DoD messaging system; just as the legacy system does today. These messages are currently text-based only, and will remain so under SMART as currently designed. However, by leveraging the various technologies employed by SMART, as well as an identified messaging product currently owned by the Department, the SMART Program can enhance this interface by allowing for the passage of attachments between these two agencies.

3) Multi-Functional Interpreter (MFI) Stabilization - As currently architected, the interface between the SMART System and external messaging systems is composed of three components: the SAMS MFI, MFI Database, and the SMART MFI. While this architecture and the functionality it contains will satisfy the minimal SMART requirements, it presents potential weaknesses and creates multiple risk points. As messages flow through these three components additional operational support is needed to identify and resolve message delivery issues. As a result of these identified risks and additional manual support costs, the SMART Program plans to re-architect the external messaging interface and/or enhance the monitoring capabilities of the interface to reduce the need for manual operations.

4) PKI/Identity Management/Digital Rights Management - Due to the immaturity of PKI architecture within the Department, and its current exclusion from ClassNet, the SMART system is unable to fully integrate PKI/Identity Management functionality within the Core. In addition, the Diplomatic Security office (DS) is still searching for a suitable product to address Digital Right Management and Message-Based Anomaly Detection (MBAD).

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4. Service Component Reference Model (SRM) Table:

Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.egov.gov>.

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
Data Classification	Allow the classification of data	Back Office Services	Data Management	Data Classification			No Reuse	
Data Exchange	Support the interchange of information between multiple systems or applications; includes verification that transmitted data was received unaltered	Back Office Services	Data Management	Data Exchange			No Reuse	
Data Mart	Support a subset of a data warehouse for a single department or function within an organization	Back Office Services	Data Management	Data Mart			No Reuse	
Data Recovery	Support the restoration and stabilization of data sets to a consistent, desired state	Back Office Services	Data Management	Data Recovery			No Reuse	
Data Warehouse	Support the archiving and storage of large volumes of data	Back Office Services	Data Management	Data Warehouse			No Reuse	
Extraction and Transformation	Support the manipulation and change of data	Back Office Services	Data Management	Extraction and Transformation			No Reuse	
Loading and Archiving	Support the population of a data source with external data	Back Office Services	Data Management	Loading and Archiving			No Reuse	
Meta Data Management	Support the maintenance and administration of data that describes data	Back Office Services	Data Management	Meta Data Management			No Reuse	
Data Integration	Support the organization of data from separate data sources into a single source using middleware or application integration as well as the modification of system data models to capture new information within a single system	Back Office Services	Development and Integration	Data Integration			No Reuse	
Enterprise Application Integration	Support the redesigning of disparate information systems into one system that uses a common set of data structures and rules	Back Office Services	Development and Integration	Enterprise Application Integration			No Reuse	
Instrumentation and Testing	Support the validation of application or system capabilities and requirements	Back Office Services	Development and Integration	Instrumentation and Testing			No Reuse	

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Legacy Integration	Support the communication between newer generation hardware/software applications and the previous, major generation of hardware/software applications	Back Office Services	Development and Integration	Legacy Integration			No Reuse	
Software Development	Support the creation of both graphical and process application or system software	Back Office Services	Development and Integration	Software Development			No Reuse	
Ad Hoc	Support the use of dynamic reports on an as needed basis	Business Analytical Services	Reporting	Ad Hoc			No Reuse	
Standardized / Canned	Support the use of pre-conceived or pre-written reports	Business Analytical Services	Reporting	Standardized / Canned			No Reuse	
Graphing / Charting	Support the presentation of information in the form of diagrams or tables	Business Analytical Services	Visualization	Graphing / Charting			No Reuse	
Multimedia	Support the representation of information in more than one form to include text, audio, graphics, animated graphics and full motion video	Business Analytical Services	Visualization	Multimedia			No Reuse	
Network Management	Monitor and maintain a communications network in order to diagnose problems, gather statistics and provide general usage	Business Management Services	Organizational Management	Network Management			No Reuse	
Workgroup / Groupware	Support multiple users working on related tasks	Business Management Services	Organizational Management	Workgroup / Groupware			No Reuse	
Online Help	Provide an electronic interface to customer assistance	Customer Services	Customer Initiated Assistance	Online Help			No Reuse	
Online Tutorials	Provide an electronic interface to educate and assist customers	Customer Services	Customer Initiated Assistance	Online Tutorials			No Reuse	
Alerts and Notifications	Allow a customer to be contacted in relation to a subscription or service of interest	Customer Services	Customer Preferences	Alerts and Notifications			No Reuse	
Personalization	Change a user interface and how data is displayed	Customer Services	Customer Preferences	Personalization			No Reuse	
Subscriptions	Allow a customer to join a forum, listserv, or	Customer Services	Customer Preferences	Subscriptions			No Reuse	

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	mailing list							
Tagging and Aggregation	Support the identification of specific content within a larger set of content for collection and summarization	Digital Asset Services	Content Management	Tagging and Aggregation			No Reuse	
Classification	Support the categorization of documents	Digital Asset Services	Document Management	Classification			No Reuse	
Document Conversion	Support the changing of files from one type of format to another	Digital Asset Services	Document Management	Document Conversion			No Reuse	
Document Referencing	Support the redirection to other documents and information for related content	Digital Asset Services	Document Management	Document Referencing			No Reuse	
Document Review and Approval	Support the editing and commendation of documents before releasing them	Digital Asset Services	Document Management	Document Review and Approval			No Reuse	
Document Revisions	Support the versioning and editing of content and documents	Digital Asset Services	Document Management	Document Revisions			No Reuse	
Indexing	Support the rapid retrieval of documents through a structured numbering construct	Digital Asset Services	Document Management	Indexing			No Reuse	
Library / Storage	Support document and data warehousing and archiving	Digital Asset Services	Document Management	Library / Storage			No Reuse	
Categorization	Allow classification of data and information into specific layers or types to support an organization	Digital Asset Services	Knowledge Management	Categorization			No Reuse	
Information Mapping / Taxonomy	Support the creation and maintenance of relationships between data entities, naming standards and categorizat	Digital Asset Services	Knowledge Management	Information Mapping / Taxonomy			No Reuse	
Information Retrieval	Allow access to data and information for use by an organization and its stakeholders	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	
Information Sharing	Support the use of documents and data in a multi-user environment for use by an organization and its stakeholders	Digital Asset Services	Knowledge Management	Information Sharing			No Reuse	
Smart Documents	Support the interaction of information and	Digital Asset Services	Knowledge Management	Smart Documents			No Reuse	

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Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
	process (business logic) rules between users of the document. (i.e. the logic and use of the document is embedded within the document itself and is managed within the document parameters)							
Document Classification	Support the categorization of documents and artifacts, both electronic and physical	Digital Asset Services	Records Management	Document Classification			No Reuse	
Document Retirement	Support the termination or cancellation of documents and artifacts used by an organization and its stakeholders	Digital Asset Services	Records Management	Document Retirement			No Reuse	
Record Linking / Association	Support the correlation between logical data and information sets	Digital Asset Services	Records Management	Record Linking / Association			No Reuse	
Inbound Correspondence Management	Manage externally initiated communication between an organization and its stakeholders	Process Automation Services	Routing and Scheduling	Inbound Correspondence Management			No Reuse	
Outbound Correspondence Management	Manage internally initiated communication between an organization and its stakeholders	Process Automation Services	Routing and Scheduling	Outbound Correspondence Management			No Reuse	
Conflict Resolution	Support the conclusion of contention or differences within the business cycle	Process Automation Services	Tracking and Workflow	Conflict Resolution			No Reuse	
Process Tracking	Allow the monitoring of activities within the business cycle	Process Automation Services	Tracking and Workflow	Process Tracking			No Reuse	
Document Library	Support the grouping and archiving of files and records on a server	Support Services	Collaboration	Document Library			No Reuse	
Email	Support the transmission of memos and messages over a network	Support Services	Collaboration	Email			No Reuse	
Shared Calendaring	Allow an entire team as well as individuals to view, add and modify each other's schedules, meetings and activities	Support Services	Collaboration	Shared Calendaring			No Reuse	

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Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
Task Management	Support a specific undertaking or function assigned to an employee	Support Services	Collaboration	Task Management			No Reuse	
Threaded Discussions	Support the running log of remarks and opinions about a given topic or subject	Support Services	Collaboration	Threaded Discussions			No Reuse	
Community Management	Support the administration of online groups that share common interests	Support Services	Communication	Community Management			No Reuse	
Classification	Support selection and retrieval of records organized by shared characteristics in content or context	Support Services	Search	Classification			No Reuse	
Pattern Matching	Support retrieval of records generated from a data source by imputing characteristics based on patterns in the content or context	Support Services	Search	Pattern Matching			No Reuse	
Query	Support retrieval of records that satisfy specific query selection criteria	Support Services	Search	Query			No Reuse	
Access Control	Support the management of permissions for logging onto a computer, application, service, or network; includes user management and role/privilege management	Support Services	Security Management	Access Control			No Reuse	
Remote Systems Control	Support the monitoring, administration and usage of applications and enterprise systems from locations outside of the immediate system environment	Support Services	Systems Management	Remote Systems Control			No Reuse	
System Resource Monitoring	Support the balance and allocation of memory, usage, disk space and performance on computers and their applications	Support Services	Systems Management	System Resource Monitoring			No Reuse	

a. Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.

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b. A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

c. 'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

d. Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the percentage of the BY requested funding amount transferred to another agency to pay for the service. The percentages in the column can, but are not required to, add up to 100%.

5. Technical Reference Model (TRM) Table: To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.				
FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Data Exchange	Component Framework	Data Interchange	Data Exchange	
System Resource Monitoring	Component Framework	Data Management	Reporting and Analysis	
Process Tracking	Component Framework	Data Management	Reporting and Analysis	
Data Mart	Component Framework	Security	Supporting Security Services	
Personalization	Component Framework	User Presentation / Interface	Dynamic Server-Side Display	
Document Referencing	Component Framework	User Presentation / Interface	Dynamic Server-Side Display	
Graphing / Charting	Component Framework	User Presentation / Interface	Static Display	
Multimedia	Component Framework	User Presentation / Interface	Static Display	
Information Retrieval	Service Access and Delivery	Access Channels	Web Browser	
Remote Systems Control	Service Access and Delivery	Access Channels	Web Browser	
Query	Service Access and Delivery	Access Channels	Web Browser	
Online Tutorials	Service Access and Delivery	Delivery Channels	Intranet	
Alerts and Notifications	Service Access and Delivery	Delivery Channels	Intranet	
Online Help	Service Access and Delivery	Delivery Channels	Intranet	
Subscriptions	Service Access and Delivery	Delivery Channels	Intranet	
Workgroup / Groupware	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	
Information Sharing	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	
Threaded Discussions	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	
Shared Calendaring	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	
Task Management	Service Access and Delivery	Delivery Channels	Peer to Peer (P2P)	
Access Control	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	
Email	Service Access and Delivery	Service Transport	Supporting Network Services	
Network Management	Service Access and Delivery	Service Transport	Supporting Network Services	
Inbound Correspondence Management	Service Interface and Integration	Integration	Middleware	
Outbound Correspondence Management	Service Interface and Integration	Integration	Middleware	
Classification	Service Interface and Integration	Integration	Middleware	
Loading and Archiving	Service Interface and Integration	Integration	Middleware	
Data Integration	Service Interface and Integration	Integration	Middleware	
Legacy Integration	Service Interface and Integration	Integration	Middleware	
Enterprise Application Integration	Service Interface and Integration	Integration	Middleware	
Document Retirement	Service Interface and Integration	Interoperability	Data Format / Classification	
Document Classification	Service Interface and Integration	Interoperability	Data Format / Classification	
Data Classification	Service Interface and Integration	Interoperability	Data Format / Classification	
Categorization	Service Interface and Integration	Interoperability	Data Format / Classification	
Document Conversion	Service Interface and Integration	Interoperability	Data Transformation	

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5. Technical Reference Model (TRM) Table: To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.				
FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Extraction and Transformation	Service Interface and Integration	Interoperability	Data Transformation	
Document Revisions	Service Interface and Integration	Interoperability	Data Transformation	
Loading and Archiving	Service Interface and Integration	Interoperability	Data Transformation	
Tagging and Aggregation	Service Interface and Integration	Interoperability	Data Types / Validation	
Conflict Resolution	Service Interface and Integration	Interoperability	Data Types / Validation	
Document Review and Approval	Service Interface and Integration	Interoperability	Data Types / Validation	
Classification	Service Interface and Integration	Interoperability	Data Types / Validation	
Smart Documents	Service Interface and Integration	Interoperability	Data Types / Validation	
Data Integration	Service Platform and Infrastructure	Database / Storage	Database	
Document Library	Service Platform and Infrastructure	Database / Storage	Database	
Ad Hoc	Service Platform and Infrastructure	Database / Storage	Database	
Library / Storage	Service Platform and Infrastructure	Database / Storage	Database	
Data Mart	Service Platform and Infrastructure	Database / Storage	Database	
Data Warehouse	Service Platform and Infrastructure	Database / Storage	Database	
Meta Data Management	Service Platform and Infrastructure	Database / Storage	Database	
Indexing	Service Platform and Infrastructure	Database / Storage	Database	
Standardized / Canned	Service Platform and Infrastructure	Database / Storage	Database	
Information Mapping / Taxonomy	Service Platform and Infrastructure	Database / Storage	Database	
Record Linking / Association	Service Platform and Infrastructure	Database / Storage	Database	
Data Warehouse	Service Platform and Infrastructure	Database / Storage	Storage	
Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	
Document Library	Service Platform and Infrastructure	Database / Storage	Storage	
Library / Storage	Service Platform and Infrastructure	Database / Storage	Storage	
Query	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Classification	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Pattern Matching	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Information Mapping / Taxonomy	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Shared Calendaring	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Task Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Personalization	Service Platform and Infrastructure	Delivery Servers	Portal Servers	
Online Help	Service Platform and Infrastructure	Delivery Servers	Portal Servers	
Enterprise Application Integration	Service Platform and Infrastructure	Delivery Servers	Portal Servers	
Threaded Discussions	Service Platform and Infrastructure	Delivery Servers	Portal Servers	
Community Management	Service Platform and Infrastructure	Delivery Servers	Portal Servers	
Document Referencing	Service Platform and Infrastructure	Delivery Servers	Portal Servers	
Information Retrieval	Service Platform and Infrastructure	Delivery Servers	Portal Servers	

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5. Technical Reference Model (TRM) Table:

To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Information Sharing	Service Platform and Infrastructure	Delivery Servers	Portal Servers	
Software Development	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	
Issue Tracking	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	

a. Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications

b. In the Service Specification field, agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

6. Will the application leverage existing components and/or applications across the Government (i.e., USA.gov, Pay.Gov, etc)? Yes

Exhibit 300: Part II: Planning, Acquisition and Performance Information

Section B: Risk Management (All Capital Assets)

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

- | | |
|---|-----------|
| 1. Does the investment have a Risk Management Plan? | Yes |
| a. If "yes," what is the date of the plan? | 11/7/2008 |
| b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? | No |